## JAP7 Rec'd PCT/PTO 03 APR 2006

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE **CUSTOMER NO. 22,852** (DO/EO/US) ATTORNEY'S DOCKET NUMBER 04208.0235 **CONCERNING A SUBMISSION UNDER 35 U.S.C. 371** U.S. ARPLICATION NO. (If known see of CFR 1.5) PRIORITY DATE CLAIMED INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PCT/JP2004/014600 October 4, 2004 October 3, 2003 TITLE OF INVENTION SEMICONDUCTOR OPTOELECTRONIC WAVEGUIDE (AS AMENDED) APPLICANT(S) FOR DO/EO/US 1) Tadao ISHIBASHI, 2) Seigo ANDO and 3) Ken TSUZUKI Applicant(s) herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  $\boxtimes$ This is a FIRST submission of items concerning a filing under 35 U.S.C 371. 1. 2. This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. The US has been elected (Article 31). 4. 5. A copy of the International Application as filed (35 U.S.C. 371 (c)(2)). is attached hereto (required only if not communicated by the International Bureau). a. has been communicated by the International Bureau. is not required, as the application was filed with the United States Receiving Office (RO/US). An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). is attached hereto.  $\bowtie$ has been previously submitted under 35 U.S.C. 154(d)(4). Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)).  $\boxtimes$ are attached hereto (required only if not communicated by the International Bureau). have been communicated by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired.  $\boxtimes$ have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). 9. An English language translation of the annexes of the International Preliminary Examination Report under PCT 10. ⊔ Article 36 (35 U.S.C. 371 (c)(5)). items 11 to 20 below concern document(s) or information included: Information Disclosure Statement under 37 CFR 1.97 and 1.98 11. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 12. 13.  $\boxtimes$ A preliminary amendment. An Application Data Sheet under 37 CFR 1.76. A Substitute specification. 15. A power of attorney and/or change of address letter. 16. 17. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. A second copy of the published International Application under 35 U.S.C. 154 (d)(4). 18. A second copy of the English language translation of the international application 35 U.S.C. 154 (d)(4). 19. □ 20. 🖾 Other items or information: Copy of cover page of International Publication No. WO 2005/033784 A1 a. b. Copy of Notification of Missing Requirements. **Verification of Translation** C.  $\boxtimes$ Translation of International Search Report from the Japanese Patent Office f. 

## IAP15 Rec'd PCT/PTO 03 APR 2006

The following fees have been submitted:  CALCULATIONS PTO Use Only	40/57/517			•	NTERNATIONAL APPLICATION NO.			ATTORNEY'S DOCKET NUMBER 04208.0235		
22 Examination fee (37 CFR 1.462(a)):  18 be Written options prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the ISAUS or IS		The following fees have been submitted:								
If the Wilton opinion prepared by ISAUS or the International preliminary examination report prepared by ISAUS or the International preliminary examination report prepared to 1975 (1975) (1975	21.	1. BASIC NATIONAL FEE (37 CFR 1.492(a)):\$300.00						\$300.00	Only	
Secret Net Committee	22. Examination fee (37CFR 1.492(c))									
If the written opinion of the IsA/US or the International preliminary examination report prepared by PEAUS indicates all claims assistly provisions of PCT Article 33(1)(4) to the USPT 0 as a 50 Search fee (37 CFR 1.45(6)(2)) has been paid on the international application to the USPT 0 as 3 100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the I8	by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)\$0									
TOTAL of 21, 22 and 23 = \$800.00  Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CPT 1, 22 (for (e) or convenue program listing in an The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  Total Sheets Extra Sheets Number of each additional 50 or fraction thereof.  Total Sheets Extra Sheets Number of each additional 50 or fraction thereof.  Surcharge of \$150.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(n)).  CLAIMS NUMBER FILED NUMBER EXTRA RATE  Total Claims 35.20 = 15 x\$50.00 \$7	If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)\$0  Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority\$100  International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB\$400									
listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) of CFR 1.821(c) or (e) or computer program listing in an electronic medium) of CFR 1.821(c) or (e) or cover the above fees is earloused.  Total Sheets  Extra Sheets  Number of each additional 50 or fraction thereof.  Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the eath or deciaration after the date of surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the eath or deciaration after the date of surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the eath or deciaration after the date of surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the eath or deciaration after the date of surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the eath or deciaration after the date of \$130.00 for furnishing the search fee, examination fee, or the eath or deciaration after the date of \$130.00 for furnishing the search fee, examination fee, or the eath or deciaration after the date of \$130.00 for furnishing the search feet of \$130.00 for \$130.00 for \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$1.4960).  TOTAL OF ABOVE CALCULATIONS \$150.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$1.4960).  TOTAL NATIONAL FEE \$150.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$1.4960).  TOTAL NATIONAL FEE \$150.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$1.4960).  TOTAL NATIONAL FEE \$150.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$1.4960).  TOTAL NATIONAL FEE \$150.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$1.4960).  TOTAL FEES ENCLOSED \$150.00 for fur										
Total Sheets Extra Sheets (thereof (round up to a whole number)  58 - 100 = 76	listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).									
Set 100 = 750   75		Total Sheets				Rate				
CLAIMS NUMBER FILED NUMBER EXTRA RATE  Total Claims 3-2 = 15 x \$50.00 \$750.00  Independent Claims 3-3 = x \$200.00 \$  MULTIPLE DEPENDENT CLAIM(S) (if applicable) \$ 3-3 = x \$200.00 \$  MULTIPLE DEPENDENT CLAIM(S) (if applicable) \$ 15 x \$50.00 \$ \$750.00 \$  MULTIPLE DEPENDENT CLAIM(S) (if applicable) \$ 15 x \$50.00 \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	58 - 100 = /50=							\$		
Total Claims 35-20 = 15 x\$50.00 \$750.00   Independent Claims 3-3 = x\$200.00 \$   MULTIPLE DEPENDENT CLAIM(S) (if applicable) +\$360.00 \$   MULTIPLE DEPENDENT CLAIM(S) (if applicable) +\$360.00 \$      Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/s.										
Independent Claims 3-3 =										
MULTIPLE DEPENDENT CLAIM(S) (if applicable)  TOTAL OF ABOVE CALCULATIONS = \$1650.00  Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/s.  SUBTOTAL = \$1650.00  Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	Total Claims		. 35 - 20	=	15 x \$50.00		\$750.00			
TOTAL OF ABOVE CALCULATIONS = \$1650.00  □ Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.  SUBTOTAL = \$1650.00  Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$ 1.492(1)).  TOTAL NATIONAL FEE = \$1650.00  Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate \$ 1650.00  TOTAL FEES ENCLOSED = \$1650.00  Amount to be refunded: \$ 1650.00  Amount to be refunded: \$ 1650.00  Delease charge my Deposit Account No. in the amount of \$ 1650.00 in the amount of \$ 1650.00 in the amount of \$ 10 cover the above fees. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 0.09-0916. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 0.90-0916. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 0.90-0916. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be come public. Credit card Information should not be included on this form. Provide credit card information and authorization on PTO-2038.  NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  SEND ALL CORRESPONDENCE TO:  Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P.  SIGNATURE  Ernest F. Chapman/Registration No. 25,961				=				\$		
Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/s.  SUBTOTAL = \$1650.00  Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR \$ 1.492(II).  TOTAL NATIONAL FEE = \$1650.00  Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate \$ 1650.00  TOTAL FEES ENCLOSED = \$1650.00  Amount to be refunded: charged: \$ 1650.00  Amount to be refunded: charged: \$ 1650.00  Description of this amount of \$ 1650.00 to cover the above fees is enclosed.  Direction of the amount of \$ 1650.00 to cover the above fees is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 96.0916. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 96.0916. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 96.0916. A duplicate copy of this sheet is enclosed.  The Commissioner is hereby authorized to charge any additional fees which may be come public. Credit card Information should not be included on this form. Provide credit card information and authorization on PTO-2038.  NOTE: Where an appropriate time Ilmit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  SEND ALL CORRESPONDENCE TO:  Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P.  SIGNATURE  Emest F. Chapman/Registration No. 25,961	MULTIPLE DEPENDENT CLAIM(S) (if applicable) +\$360.00									
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR 1.492(i)).  TOTAL NATIONAL FEE = \$1650.00  Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.  TOTAL FEES ENCLOSED = \$1650.00  Amount to be refunded: charged: \$  a. \top A check in the amount of \$ 1650.00 to cover the above fees is enclosed.  b. \top Please charge my Deposit Account No. \top In the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.  c. \top The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-0916. A duplicate copy of this sheet is enclosed.  d. \top Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  SEND ALL CORRESPONDENCE TO:  Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P. SIGNATURE  Emest F. Chapman/Registration No. 25,961	TOTAL OF ABOVE CALCULATIONS =									
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TOTAL FEES ENCLOSED = \$1650.00  Amount to be refunded: \$  a. \omega A check in the amount of \$ 1650.00 to cover the above fees is enclosed.  b. Please charge my Deposit Account No. in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.  c. \omega The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-0918. A duplicate copy of this sheet is enclosed.  d. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  SEND ALL CORRESPONDENCE TO:  Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P. 901 New York Avenue, N.W. Washington, DC 20001-4413  Ernest F. Chapman/Registration No. 25,961	TOTAL NATIONAL FEE =									
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b. Please charge my Deposit Account No in the amount of \$ to cover the above fees.  A duplicate copy of this sheet is enclosed.  c. \( \text{The Commissioner} is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. \( \frac{06-0916}{0.0916} \). A duplicate copy of this sheet is enclosed.  d. \( Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the international Application to pending status.  SEND ALL CORRESPONDENCE TO:  Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P. 901 New York Avenue, N.W.  Washington, DC 20001-4413  Ernest F. Chapman/Registration No. 25,961								charged:	\$	
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No. 06-0916. A duplicate copy of this sheet is enclosed.  d. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  SEND ALL CORRESPONDENCE TO:  Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P. 901 New York Avenue, N.W.  Washington, DC 20001-4413  Ernest F. Chapman/Registration No. 25,961	b. 🔲									
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Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P. 901 New York Avenue, N.W. Washington, DC 20001-4413  Ernest F. Chapman/Registration No. 25,961										
901 New York Avenue, N.W.  Washington, DC 20001-4413  Ernest F. Chapman/Registration No. 25,961	SEND A	LL CORRESPONDENC	E TO:			1/7/	<b>7</b>			
	901 New York Avenue, N.W. SIGNATURE									